

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John Malitzis et al.                      Art Unit : 3628  
Serial No. : 09/812,225                              Examiner : Harbeck, Timothy  
Filed : March 19, 2001                              Conf. No. : 9467  
Title : ODD LOT PROCESSING IN CENTRALIZED AUTOMATED MARKET  
SYSTEM

**MAIL STOP RCE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This filing is being made with the filing of a Request for Continued Examination. No fee is required.

Respectfully submitted,

Date: 7/14/02

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|---|--|---------------------------------------|-------------------------------|
| Substitute Form PTO-1449<br>(Modified)  | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No.<br>09857-057001 | Application No.<br>09/812,225 |
| <b>Information Disclosure Statement<br/>by Applicant</b><br>(Use several sheets if necessary) |  | Applicant<br>John Malitzis et al.     |                               |
|   |  | Filing Date<br>March 19, 2001         | Group Art Unit<br>3628        |
| (37 CFR §1.98(b))   |  |                                       |                               |

## U.S. Patent Documents

| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee       | Class | Subclass | Filing Date If Appropriate |
|------------------|-----------|-----------------|------------------|----------------|-------|----------|----------------------------|
|                  | AA        | 7,181,424       |                  | Ketchum et al. |       |          |                            |
|                  | AB        | 7,209,896       |                  | Serkin et al.  |       |          |                            |
|                  | AC        | 6,195,647       |                  | Martyn et al.  |       |          |                            |
|                  | AD        |                 |                  |                |       |          |                            |
|                  | AE        |                 |                  |                |       |          |                            |
|                  | AF        |                 |                  |                |       |          |                            |
|                  | AG        |                 |                  |                |       |          |                            |
|                  | AH        |                 |                  |                |       |          |                            |
|                  | AI        |                 |                  |                |       |          |                            |
|                  | AJ        |                 |                  |                |       |          |                            |
|                  | AK        |                 |                  |                |       |          |                            |

## Foreign Patent Documents or Published Foreign Patent Applications

| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation |    |
|------------------|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
|                  |           |                 |                  |                          |       |          | Yes         | No |
|                  | AL        |                 |                  |                          |       |          |             |    |
|                  | AM        |                 |                  |                          |       |          |             |    |
|                  | AN        |                 |                  |                          |       |          |             |    |
|                  | AO        |                 |                  |                          |       |          |             |    |
|                  | AP        |                 |                  |                          |       |          |             |    |

## Other Documents (include Author, Title, Date, and Place of Publication)

| Examiner Initial | Desig ID | Document   |
|------------------|----------|--|
|                  | AQ       | U.S. Patent Application Serial No. 09/401,875, filed 9-23-1999 |
|                  | AR       | U.S. Patent Application Serial No. 09/404,517, filed 9-23-1999 |
|                  | AS       | U.S. Patent Application Serial No. 09/401,873, filed 9-23-1999 |
|                  | AT       |  |

|  |                 |
|--|-----------------|
| Examiner Signature   | Date Considered |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                 |